

# PATENT COOPERATION TREATY

## PCT

### NOTIFICATION OF ELECTION

(PCT Rule 61.2)

From the INTERNATIONAL BUREAU

To:

Assistant Commissioner for Patents  
United States Patent and Trademark  
Office  
Box PCT  
Washington, D.C.20231  
ÉTATS-UNIS D'AMÉRIQUE

in its capacity as elected Office

<b>Date of mailing (day/month/year)</b> 25 February 2000 (25.02.00)	
<b>International application No.</b> PCT/GB99/02138	<b>Applicant's or agent's file reference</b> NJE/GO4960PC
<b>International filing date (day/month/year)</b> 05 July 1999 (05.07.99)	<b>Priority date (day/month/year)</b> 03 July 1998 (03.07.98)
<b>Applicant</b> CRAVEN, Peter, Graham et al	

1. The designated Office is hereby notified of its election made:

☒ in the demand filed with the International Preliminary Examining Authority on:

20 January 2000 (20.01.00)

☐ in a notice effecting later election filed with the International Bureau on:

2. The election ☒ was

☐ was not

made before the expiration of 19 months from the priority date or, where Rule 32 applies, within the time limit under Rule 32.2(b).

<p style="text-align: center;"><b>The International Bureau of WIPO</b>          34, chemin des Colombettes          1211 Geneva 20, Switzerland</p> <p>Facsimile No.: (41-22) 740.14.35</p>	<p>Authorized officer</p> <p style="text-align: center;">Olivia RANAIVOJAONA</p> <p>Telephone No.: (41-22) 338.83.38</p>
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# PATENT COOPERATION TREATY

PCT

From the INTERNATIONAL BUREAU

## NOTIFICATION OF THE RECORDING OF A CHANGE

(PCT Rule 92bis.1 and  
Administrative Instructions, Section 422)

To:

ERTL, Nick  
Elkington and Fife  
Prospect House  
8 Pembroke Road  
Sevenoaks  
Kent TN13 1XR  
ROYAUME-UNI

<b>Date of mailing (day/month/year)</b> 28 July 2000 (28.07.00)	
<b>Applicant's or agent's file reference</b> NJE/GO4960PC	<b>IMPORTANT NOTIFICATION</b>
<b>International application No.</b> PCT/GB99/02138	<b>International filing date (day/month/year)</b> 05 July 1999 (05.07.99)

<b>1. The following indications appeared on record concerning:</b> <input checked="" type="checkbox"/> the applicant <input checked="" type="checkbox"/> the inventor <input type="checkbox"/> the agent <input type="checkbox"/> the common representative		
<b>Name and Address</b> CRAVEN, Peter, Graham 6 Kings Road Lancing West Sussex BN15 8EA United Kingdom	<b>State of Nationality</b> GB	<b>State of Residence</b> GB
	<b>Telephone No.</b>  	
	<b>Facsimile No.</b>  	
	<b>Teleprinter No.</b>  	
<b>2. The International Bureau hereby notifies the applicant that the following change has been recorded concerning:</b> <input type="checkbox"/> the person <input type="checkbox"/> the name <input type="checkbox"/> the address <input type="checkbox"/> the nationality <input type="checkbox"/> the residence		
<b>Name and Address</b>  	<b>State of Nationality</b>  	<b>State of Residence</b>  
	<b>Telephone No.</b>  	
	<b>Facsimile No.</b>  	
	<b>Teleprinter No.</b>  	
<b>3. Further observations, if necessary:</b> <b>The above-mentioned applicant/inventor should now be recorded as an applicant/inventor for US only.</b>		
<b>4. A copy of this notification has been sent to:</b> <input checked="" type="checkbox"/> the receiving Office <input type="checkbox"/> the designated Offices concerned <input type="checkbox"/> the International Searching Authority <input checked="" type="checkbox"/> the elected Offices concerned <input checked="" type="checkbox"/> the International Preliminary Examining Authority <input type="checkbox"/> other:		

<b>The International Bureau of WIPO</b> 34, chemin des Colombettes 1211 Geneva 20, Switzerland  Facsimile No.: (41-22) 740.14.35	<b>Authorized officer</b>  Ingrid Aulich  Telephone No.: (41-22) 338.83.38
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## PATENT COOPERATION TREATY

PCT

NOTIFICATION OF THE RECORDING  
OF A CHANGE(PCT Rule 92bis.1 and  
Administrative Instructions, Section 422)

From the INTERNATIONAL BUREAU

To:

ERTL, Nick  
Elkington and Fife  
Prospect House  
8 Pembroke Road  
Sevenoaks  
Kent TN13 1XR  
ROYAUME-UNIDate of mailing (day/month/year)  
28 July 2000 (28.07.00)Applicant's or agent's file reference  
NJE/GO4960PC

## IMPORTANT NOTIFICATION

International application No.  
PCT/GB99/02138International filing date (day/month/year)  
05 July 1999 (05.07.99)

## 1. The following indications appeared on record concerning:



the applicant



the inventor



the agent



the common representative

## Name and Address

LAW, Malcolm, James  
14 Stonecroft Close  
Hangleton  
Hove  
East Sussex BN3 8BP  
United Kingdom

## State of Nationality

GB

## State of Residence

GB

Telephone No.

Facsimile No.

Teleprinter No.

## 2. The International Bureau hereby notifies the applicant that the following change has been recorded concerning:



the person



the name



the address



the nationality



the residence

## Name and Address

## State of Nationality

## State of Residence

Telephone No.

Facsimile No.

Teleprinter No.

## 3. Further observations, if necessary:

**The above-mentioned applicant/inventor should now be recorded as an applicant/inventor for US only.**

## 4. A copy of this notification has been sent to:



the receiving Office



the designated Offices concerned



the International Searching Authority



the elected Offices concerned



the International Preliminary Examining Authority



other:

The International Bureau of WIPO  
34, chemin des Colombettes  
1211 Geneva 20, Switzerland

Authorized officer

Ingrid Aulich

Facsimile No.: (41-22) 740.14.35

Telephone No.: (41-22) 338.83.38

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## PATENT COOPERATION TREATY

PCT

From the INTERNATIONAL BUREAU

NOTIFICATION OF THE RECORDING  
OF A CHANGE(PCT Rule 92bis.1 and  
Administrative Instructions, Section 422)

To:

ERTL, Nick  
Elkington and Fife  
Prospect House  
8 Pembroke Road  
Sevenoaks  
Kent TN13 1XR  
ROYAUME-UNI

Date of mailing (day/month/year) 19 April 2000 (19.04.00)	IMPORTANT NOTIFICATION
Applicant's or agent's file reference NJE/GO4960PC	
International application No. PCT/GB99/02138	International filing date (day/month/year) 05 July 1999 (05.07.99)

## 1. The following indications appeared on record concerning:

☒

the applicant

☐

the inventor

☐

the agent

☐

the common representative

## Name and Address

MERIDIAN AUDIO LIMITED  
Stonehill  
Stukeley Meadows  
Huntingdon  
Cambridgeshire PE18 6ED  
United Kingdom

## State of Nationality

\*\*

## State of Residence

GB

## Telephone No.

## Facsimile No.

## Teleprinter No.

## 2. The International Bureau hereby notifies the applicant that the following change has been recorded concerning:

☒

the person

☐

the name

☐

the address

☐

the nationality

☐

the residence

## Name and Address

DOLBY LABORATORIES LICENSING  
CORPORATION  
100 Potrero Avenue  
San Francisco, CA 94103  
United States of America

## State of Nationality

## State of Residence

US

## Telephone No.

## Facsimile No.

## Teleprinter No.

## 3. Further observations, if necessary:

**Power of attorney executed by the new applicant in favour of Elkington and Fife is required.**

## 4. A copy of this notification has been sent to:

☒

the receiving Office

☐

the designated Offices concerned

☐

the International Searching Authority

☒

the elected Offices concerned

☒

the International Preliminary Examining Authority

☐

other:

The International Bureau of WIPO  
34, chemin des Colombettes  
1211 Geneva 20, Switzerland

## Authorized officer

Anman QIU

Facsimile No.: (41-22) 740.14.35

Telephone No.: (41-22) 338.83.38

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PCT

REC'D 09 OCT 2000

WIPO

PCT

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference NJE/GO4960PC	<b>FOR FURTHER ACTION</b>	See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)
International application No. PCT/GB99/02138	International filing date (day/month/year) 05/07/1999	Priority date (day/month/year) 03/07/1998
International Patent Classification (IPC) or national classification and IPC H04L12/56		
Applicant CRAVEN, Peter et al.		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.



2. This REPORT consists of a total of 8 sheets, including this cover sheet.

- ☒ This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

These annexes consist of a total of 3 sheets.

3. This report contains indications relating to the following items:

- I ☒ Basis of the report
- II ☐ Priority
- III ☐ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- IV ☒ Lack of unity of invention
- V ☒ Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI ☐ Certain documents cited
- VII ☒ Certain defects in the international application
- VIII ☒ Certain observations on the international application

Date of submission of the demand  20/01/2000	Date of completion of this report  05.10.2000
Name and mailing address of the international preliminary examining authority:  European Patent Office D-80298 Munich Tel. +49 89 2399 - 0 Tx: 523656 epmu d Fax: +49 89 2399 - 4465	Authorized officer  Snell, T  Telephone No. +49 89 2399 8802 

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**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. PCT/GB99/02138

**I. Basis of the report**

1. This report has been drawn on the basis of (*substitute sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to the report since they do not contain amendments.*):

**Description, pages:**

1-19 as originally filed

**Claims, No.:**

1-21 with telefax of 07/09/2000

**Drawings, sheets:**

1/6-6/6 as originally filed

2. The amendments have resulted in the cancellation of:

- ☐ the description, pages:  
☐ the claims, Nos.:  
☐ the drawings, sheets:

3. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)):

4. Additional observations, if necessary:

**IV. Lack of unity of invention**

1. In response to the invitation to restrict or pay additional fees the applicant has:

- ☐ restricted the claims.  
☐ paid additional fees.  
☐ paid additional fees under protest.  
☒ neither restricted nor paid additional fees.

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**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. PCT/GB99/02138

2. ☐ This Authority found that the requirement of unity of invention is not complied and chose, according to Rule 68.1, not to invite the applicant to restrict or pay additional fees.
3. This Authority considers that the requirement of unity of invention in accordance with Rules 13.1, 13.2 and 13.3 is
- ☐ complied with.
- ☒ not complied with for the following reasons:

**see separate sheet**

4. Consequently, the following parts of the international application were the subject of international preliminary examination in establishing this report:
- ☐ all parts.
- ☒ the parts relating to claims Nos. 1,2,4-6,8-13.

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

**1. Statement**

Novelty (N)	Yes:	Claims 1,2,4-6,8-13
	No:	Claims
Inventive step (IS)	Yes:	Claims
	No:	Claims 1,2,4-6,8-13
Industrial applicability (IA)	Yes:	Claims 1,2,4-6,8-13
	No:	Claims

**2. Citations and explanations**

**see separate sheet**

**VII. Certain defects in the international application**

The following defects in the form or contents of the international application have been noted:

**see separate sheet**

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**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. PCT/GB99/02138

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**VIII. Certain observations on the international application**

The following observations on the clarity of the claims, description, and drawings or on the question whether the claims are fully supported by the description, are made:

**see separate sheet**

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**Cited Documents**

D1: EP-A-0 784 409 (SONY CORP) 16 July 1997

D2: US-A-5 623 424 (MIMURA HIDEKI ET AL) 22 April 1997

**Re Item V**

**Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

1. In accordance with the features of claim 1, D1 discloses an encoder (fig. 6: 306V-1) for producing an encoded variable rate packetised stream (see page 6, line 50), including means for introducing into the stream control data ("coding rate information") representing the data rate of the encoded stream (see figure 6).

The subject-matter of claim 1 therefore differs from the disclosure of D1 in that the control data do not represent the peak data rate. However, D2 mentions (see col. 23, lines 40-43) in connection with standard ISO/IEC13818-2 a bit rate field representing the maximum bit rate; since ISO/IEC13818-2 corresponds to the video coding standard used in D1 (see page 2, lines 11-12), it is self-evident that the control information referred to in D1 would include the peak data rate.

The inclusion of control data representing the peak rate in the system of D1 is thus, having regard to D2, an obvious step for a person skilled in the art without inventive merit.

The applicant has argued (a) that D1 does not describe an encoder having a variable rate output in the form of packets, and (b) that the "maximum data rate" mentioned in D2 relates to a filling rate for a buffer not related to the maximum coding rate.

In respect of point (a), D1 clearly discloses that the individual coding rates making up the multiplexed stream are in packet form and have variable rates (see page 6, line 50 and page 7, lines 53-54). Moreover, in the description of the present application it is not disputed that variable rate packetised coders for DVD are well

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known (see page 1).

The applicant's point (b) is not agreed with. D2 states that "there is a maximum ... rate of the generated data stream ....  $R_{\max}$ " (col. 24, lines 26-28) and that  $R_{\max}$  is the buffer filling rate (col. 23, lines 22-23). Further, a "bit\_rate" field at sequence\_header represents the max\_bit\_rate (col. 24, lines 42-43). Finally it is stated that the buffer is filled at max\_bit\_rate (col. 24, lines 44-45). Thus  $R_{\max}$  is equivalent to max\_bit\_rate;  $R_{\max}$  is therefore included in the packet header.

The subject-matter of claim 1 therefore does not involve an inventive step (Articles 33(1) and (3) PCT).

2. In accordance with the features of independent claim 2, D1 discloses an encoder for producing an encoded fixed rate packetised stream (see fig. 6, "multiplexed stream output is of fixed rate") that corresponds to a variable rate stream (ie the coding rate information corresponding to the data rate of each coding device, eg 306V-1; as stated in section VIII, the term corresponds is so vague as to be interpreted in practically any way) including means for introducing into the stream control data representing the data rate of the variable rate stream.

The subject-matter of claim 2 therefore differs from the disclosure of D1 in that the control data do not explicitly represent the peak data rate. Here the same argument applies as for claim 1.

The subject-matter of claim 2 therefore also does not involve an inventive step (Articles 33(1) and (3) PCT).

3. Independent claims 5 and 6 concern signals produced by the encoders according to claims 1 and 2.

Since the same arguments apply as for claims 1 and 2, the subject-matter of claims 5 and 6 also does not involve an inventive step (Articles 33(1) and (3) PCT).

4. Independent claim 9 concerns an electronic device for receiving data from an

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encoder according to claims 1 or 2, outputting data to an interface, and determining the bandwidth over the interface from the control data (ie implicitly the peak data rate).

However D1 discloses an encoder using rate information to determine the required bandwidth in a communications link (see col. 7, lines 56-57). It is obvious that a decoder receiving the signal from the encoder of D1 will output signals having a bandwidth determined by the control data.

Claim 9 therefore adds nothing of inventive significance to claims 1 and 2 . The subject-matter of claim 9 therefore also lacks an inventive step (Articles 33(1) and (3) PCT).

5. The additional features of dependent claims 4, 8 and 10-13 add nothing of apparent inventive significance to claims 1, 2, 5, 6 or 9, being either features rendered obvious by D1 or D2, or features readily apparent to a skilled person based on his common general knowledge of the art (Articles 33(1) and (3) PCT).

#### Re Item VII

Certain defects in the international application

1. The features of the claims are not provided with reference signs placed in parentheses (Rule 6.2(b) PCT).
2. The independent claims are not in the two-part form required by Rule 6.3(b) PCT, with a preamble based on D1.
3. Contrary to the requirements of Rule 5.1(a)(ii) PCT, the relevant background art disclosed in the documents D1 and D2 are not mentioned in the description, nor are these documents identified therein.
4. The phrase "incorporated herein as reference material" on page 11 should have been deleted as the application should be self-contained; such referenced documents are not regarded as part of the disclosure unless they contain matter

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essential to the invention, in which case the subject-matter in question should have been incorporated into the description. This however is not the case here (see PCT Guidelines II-4.17).

5. The patent applications cited on pages 7 and 11 should have been identified by publication number, where known.

Re Item VIII

Certain observations on the international application

1. Claims 2 and 6 lack clarity, because the definition "an encoded fixed rate packetised stream that corresponds to a variable rate stream" is vague and ill-defined (Article 6 PCT). The nature of the correspondence should have been more clearly defined.
2. Claim 9 does not meet the requirements of Article 6 PCT for the reason that the feature "and having the required bandwidth over the interface determined by the control data" is an action, which implies a method step. A device claim is thus being defined partially in terms of a method, leading to unclarity in respect of the category of the claim. This objection could have been overcome by the formulation "and adapted to determine the required bandwidth ....".
3. Furthermore claim 9 lacks clarity (Article 6 PCT), because the reference "for receiving data provided by an encoder as claimed in any one of claims 1 to 4", while not objectional in itself, is being used to replace a proper definition of the matter for which protection is sought, since the claim cannot be understood without a knowledge of the claims referred to, whereas a claim should be self-contained, ie comprehensible with or without the said reference. Claim 9 therefore does not include all the essential features of the invention.

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## CLAIMS

1. An encoder for producing an encoded variable rate packetised stream, including means for introducing into the stream control data representing the peak data rate of the encoded stream.
2. An encoder for producing an encoded fixed rate packetised stream, including means for introducing into the stream control data representing the peak data rate of the corresponding variable rate stream.
3. An encoder for producing an encoded packetised stream, including means for introducing into the stream control data representing the minimum data rate to which the stream could be repacketised for successful decoding by a decoder of known characteristics.
4. An encoder as claimed in claim 1, 2 or 3, wherein the encoded stream is losslessly compressed digital audio data.
5. An encoded variable rate packetised stream including control data representing the peak data rate of the stream.
6. An encoded fixed rate packetised stream including control data representing the peak data rate of the corresponding variable rate stream.
7. An encoded packetised stream including control data representing the minimum data rate to which the stream could be repacketised for successful decoding by each of one or more decoders of known characteristics.
8. An encoded packetised stream as claimed in claim 5, 6 or 7, wherein the encoded stream is losslessly compressed digital audio data.
9. An electronic device for providing an encoded packetised output to an interface, comprising an input for receiving data provided by an encoder as claimed in any one of

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claims 1 to 4, the required bandwidth over the interface being determined by the control data provided on the stream by the encoder.

10. An electronic device as claimed in claim 9, further comprising means for converting the encoded packetised output to an output having a maximum data rate calculated in dependence upon the control data provided on the stream by the encoder.

11. An electronic device as claimed in claim 10, wherein the output having a maximum data rate corresponding to the control data comprises a fixed rate packetised stream.

12. An electronic device as claimed in claim 10 or 11, comprising a DVD player, the interface being for communication of encoded DVD data to external equipment.

13. An electronic device as claimed in claim 11, comprising a DVD player, the interface being for communication of encoded DVD data to an internal decoder.

14. A mastering system comprising an encoder for producing an encoded packetised stream, the encoder including means for introducing into the stream control data representing the total amount of data in the corresponding variable rate stream.

15. A system for writing data to a DVD comprising a mastering system as claimed in claim 14, a transcoder for converting the encoded fixed rate stream to a variable rate packetised stream for writing to the DVD, and an authoring system including means for determining the total data duration for writing on the DVD from the control data.

16. A mastering system comprising an encoder for producing an encoded packetised stream, the encoder including means for determining the minimum data rate to which the stream could be repacketised for successful decoding by each of one or more decoders of known characteristics and for introducing into the stream control data representing this minimum data rate.

17. A system comprising a mastering system as claimed in claim 16, and means for

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repacketising the data to form a stream having a peak data rate calculated in dependence upon the control data.

18. A system as claimed in claim 17, wherein the stream having a peak data rate corresponding to the control data comprises a fixed rate stream.

19. A system for providing encoded data to a DVD comprising a mastering system as claimed in claim 16, and means for writing the control data onto the disc with the encoded data.

20. A system for providing encoded data to a DVD comprising a mastering system and an authoring system, the authoring system including an encoder and means for determining the minimum data rate to which the encoded stream could be repacketised for successful decoding by each of one or more decoders of known characteristics, the authoring system writing control data to the disc representing this minimum data rate.

21. A system as claimed in any one of claims 17 to 20, wherein the encoder comprises an MLP lossless encoder for audio data.

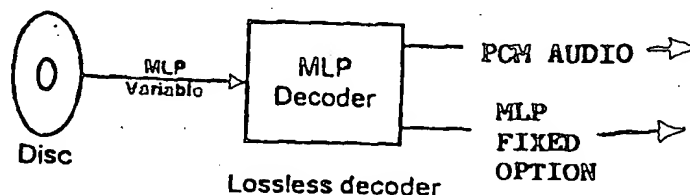
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## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(51) International Patent Classification <sup>7</sup> : H04L 12/56, H04N 7/50		A1	(11) International Publication Number: WO 00/02357
			(43) International Publication Date: 13 January 2000 (13.01.00)
(21) International Application Number: PCT/GB99/02138 (22) International Filing Date: 5 July 1999 (05.07.99) (30) Priority Data: 9814513.9      3 July 1998 (03.07.98)      GB 9907918.8      7 April 1999 (07.04.99)      GB (71) Applicant (for all designated States except US): MERIDIAN AUDIO LIMITED [-/GB]; Stonehill, Stukeley Meadows, Huntingdon, Cambridgeshire PE18 6ED (GB). (71)(72) Applicants and Inventors: CRAVEN, Peter, Graham [GB/GB]; 6 Kings Road, Lancing, West Sussex BN15 8EA (GB). LAW, Malcolm, James [GB/GB]; 14 Stonecroft Close, Hangleton, Hove, East Sussex BN3 8BP (GB). (72) Inventor; and (75) Inventor/Applicant (for US only): STUART, John, Robert [GB/GB]; 21 Storeys Way, Cambridge CB3 0DP (GB). (74) Agent: ERTL, Nick; Elkington and Fife, Prospect House, 8 Pembroke Road, Sevenoaks, Kent TN13 1XR (GB).		(81) Designated States: AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CU, CZ, DE, DK, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, UA, UG, US, UZ, VN, YU, ZA, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).  Published With international search report.	

(54) Title: TRANSCODERS FOR FIXED AND VARIABLE RATE DATA STREAMS



## (57) Abstract

A transcoder is provided for receiving encoded data read from a Digital Video Disc. This data usually comprises variable length audio data packets, each data packet including a packet header. For the invention, at least one packet header for each track gives the peak data rate of the track. The transcoder converts the variable rate packetised stream into a fixed rate stream of the same rate as the peak rate indicated in the packet header. This fixed rate stream is suitable for transmission over certain interface protocols, or else for storage on a storage medium if fixed rate stored audio is desired. The track may give data indicating the minimum rate to which the data could be reserialised, or repacketised, for controlling the operation of a subsequent transcoder.

*FOR THE PURPOSES OF INFORMATION ONLY*

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## TRANSCODERS FOR FIXED AND VARIABLE RATE DATA STREAMS

Field of Invention

5 The invention relates to the transmission of a recording through mastering, authoring and delivery to the consumer, where some links in the chain require transmission at a fixed data-rate, and others preferably require a variable data-rate in order to reduce the total amount of data.

10 Background to the Invention

It is known that an audio signal may be subject to a compression process (for example, lossless compression) which produces a compressed stream of varying data-rate.

15 In an application such as DVD, two parameters are of importance: the peak data-rate; and the total amount of data. On the DVD audio disc as currently proposed, the peak data-rate must not exceed 9.6Mbits/s as the disc cannot deliver data faster than this. On 6-channel audio recordings made to 24-bit precision and with 96kHz sampling frequency, this limit is a significant constraint, and P.G. Craven & M.A. Gerzon, 'Lossless Coding for Audio Discs', *J. Audio Eng. Soc.*, vol. 44 no. 9 pp. 706-720 (September 1996), P.G. Craven, M.J. Law & J.R. Stuart, 'Lossless Compression using IIR Prediction Filters', *J. Audio Eng. Soc.* (Abstracts), vol. 45 no. 5 p. 404 (22<sup>nd</sup> March 1997) (Preprint 4415) and GB 2323754 describe methods directed towards minimising the data-rate during peak passages. In addition the total amount of data on the disc is restricted to 4.7Gbytes, so it is advantageous to reduce the data-rate below 9.6Mbits/s when possible so as to maximise the playing time.

25 Thus, the stream as recorded on the disc needs to be variable-rate in order to maximise the playing time.

30 On the other hand, many protocols for the serial transmission of data assume a fixed data-rate. Moreover, a fixed-rate stream can have a much simpler interface to a subsequent processing block. Typically the data is handled by a transport layer which is ignorant of its internal structure, and then passed to a decoder or other processing block. In a software

implementation, a decoder will typically be called in order to decode a block of audio samples, for example 80 samples. If the input to the decoder is a fixed rate stream, the transport layer and the software 'harness' that organises the data-flow can know the data rate and thus provide to the decoder the correct number of bits of input data to allow the decoder to produce a block of decoded samples. However, in the variable rate case, the required number of bits is not easily known to the harness. One solution is for the decoder to request a dynamically varying number of samples from the harness: this requires two-way communication. Alternatively, if the encoder knows the size and alignment of the blocks that the decoder will decode, then the encoder can insert information in the stream's transport layer that will allow the harness to pass the required number of bits to the decoder before the decoder starts to decode the block. This is the MPEG model.

Two-way communication between the decoder and the transport layer is extremely inconvenient if the decoder is separated from the hardware that controls the rate of replay from the disc and associated buffering, (for example, it is a separate sub-unit of a player, or it is a separate item external to a player). The MPEG model has the advantage that it avoids two-way communication, but it introduces considerable complications in other respects and constrains the way in which decoders operate. Neither of the variable-rate solution is without its problems.

In general, a compressed stream will not be a homogenous stream of bits, but will be divided internally into units representing a given number of audio samples: optimally 1000 to 2000 audio samples. We will refer to these units as packets: the IEC 958 transport protocol uses the term 'burst', and compression systems such as AC-3 or MPEG use terms such as 'frame' or 'sync frame'. The packet will start with a 'packet header', which can include the data-rate (or the number of bits in the packet, which is equivalent if the number of samples represented by the packet is known). It might be thought that, given this information, the transport layer will know how many bits to send to the player at each stage, so that the need for two-way communication does not arise. However, it is in general inconvenient to require the decoder to decode a complete packet of 1000 to 2000 samples on each call, and if the decoder decodes fewer samples than this, the question of how much data it needs for each call arises once again. (The MPEG model avoids this problem by requiring the decoder to

decode a complete packet, or "access unit", and the packets length may then be reduced to the order of 100 samples. The shorter packets do however incur higher packet overheads).

It is well understood that a variable-rate stream can be converted into a fixed-rate stream having a rate equal to the peak rate of the variable-rate stream, simply by stuffing with zeroes (or other fill-in data) during periods of less than the peak data rate. Similarly the fixed-rate stream can be converted back to a variable-rate stream by removing the zeroes or padding. Assuming (as is normal) that all the zeroes (or padding) are removed, there is an unique variable-rate stream "corresponding" to the fixed rate stream. In the reverse direction, the amount of stuffing that can be added is arbitrary, so there are many fixed-rate streams "corresponding" to a variable-rate stream, but none can have a data-rate lower than that of the peak data-rate of the variable-rate stream.

In GB 2323754 however, a method is described whereby the data rate of the fixed rate stream can be somewhat less than the peak rate of a variable rate stream from which it was derived. This is achieved by "repacketising", making use of the existence of a FIFO buffer in the decoder so that the decoder core can be supplied with data at a higher rate than that from the input stream, for short periods. The amount by which the data rate is less than the peak of the variable rate stream depends on the size of the FIFO buffer and the nature of the signal.

### Summary of the Invention

According to a first aspect of the invention, there is provided an encoder for producing an encoded variable rate packetised stream, including means for introducing into the stream control data representing the peak data rate of the encoded stream.

This peak rate data can be used to control subsequent processing of the stream, for example conversion to a fixed rate. The invention also provides an encoded variable rate packetised stream including control data representing the peak data rate of the stream.

According to a second aspect of the invention, there is provided an encoder for producing an encoded fixed rate packetised stream. including means for introducing into the stream

control data representing the peak data rate of the corresponding variable rate stream. The second aspect also provides an encoded fixed rate packetised stream including control data representing the peak data rate of the corresponding variable rate stream.

- 5 The first fixed rate stream can be converted to a second fixed rate stream of lower rate (not less than the peak data rate of the variable-rate stream corresponding to the first fixed-rate stream), for example by removing all stuffing to obtain a variable rate stream, then re-inserting a smaller amount of stuffing.
- 10 According to a third aspect of the invention, there is provided an encoder for producing an encoded packetised stream, including means for introducing into the stream control data representing the minimum data rate to which the stream could be repacketised for successful decoding by each of one or more decoders of known characteristics. The third aspect also provides an encoded packetised stream including control data representing the minimum data
- 15 rate to which the stream could be repacketised for successful decoding by each of one or more decoders of known characteristics.

- This control data in the second and third aspects can be used for negotiating bandwidth over an interface, and can be used for subsequent processing of the stream, for example by an
- 20 authoring stage or a subsequent transcoding stage, without the need to scan all data in the stream to obtain this information.

- An electronic device of the invention, for providing an encoded packetised output to an interface, comprises an input for providing data to an encoder of the invention, the required
- 25 bandwidth over the interface being determined by control data provided on the stream by the encoder. This enables bandwidth negotiation to take place without the need to analyse the data, which would be impossible in a real time situation.

- The device preferably comprises means for converting the encoded packetised output to an output having a maximum data rate depending upon the control data provided on the stream
- 30 by the encoder. The new output may comprise a fixed rate packetised stream.

Preferably, the electronic device comprises a DVD player, the interface being for communication of encoded DVD data to external equipment, or to an internal decoder.

According to a fourth aspect of the invention, there is provided a mastering system comprising an encoder for producing an encoded packetised stream, the encoder including means for introducing into the stream control data representing the total amount of data in the corresponding variable rate stream. This data can be used in the authoring process to determine the total data duration.

Thus, a system for writing data to a DVD according to the invention comprises a mastering system of the fourth aspect of the invention, a transcoder for converting the encoded fixed rate stream to a variable rate packetised stream for writing to the DVD, and an authoring system including means for determining the total data duration for writing on the DVD from the control data.

According to a fifth aspect of the invention, there is provided a mastering system comprising an encoder for producing an encoded packetised stream, the encoder including means for determining the minimum data rate to which the stream could be repacketised for successful decoding by each of one or more decoders of known characteristics and for introducing into the stream control data representing this minimum data rate. This minimum data rate information can be used by an authoring system to repacketise the stream to a lower peak data rate for writing to a disc, or it can be carried on the disc for subsequent use by a player for bandwidth negotiation.

The invention also provides a system comprising a mastering system of the fifth aspect, and means for repacketising the data to form a stream having a peak data rate calculated in dependence upon the control data. This stream may comprise a fixed rate stream.

A system of the invention for providing encoded data to a DVD comprises a mastering system of the fifth aspect, and means for writing the control data onto the disc with the encoded data.

An alternative system of the invention for providing encoded data to a DVD comprises a mastering system of the fifth aspect and an authoring system, the authoring system including an encoder and means for determining the minimum data rate to which the encoded stream could be repacketised for successful decoding by each of one or more decoders of known characteristics, the authoring system writing control data to the disc representing this minimum data rate.

The encoder preferably comprises an MLP lossless encoder, and the encoded data is preferably losslessly encoded audio data.

### Brief Description of the Drawings

Examples of the present invention will now be described with reference to the accompanying drawings, in which:

Figure 1 shows in simplified schematic form the layout of audio data stored on a DVD;

Figure 2 shows schematically the basic elements of an MLP encoder;

Figure 3 shows schematically the basic elements of an MLP decoder;

Figure 4 shows schematically the basic elements of a simplified two channel MLP decoder;

Figure 5 shows the basic elements in an encoding and decoding system, and represents the delays involved;

Figure 6 shows a DVD player in accordance with the invention, which has the option to decode to PCM audio, or to output a fixed rate compressed stream; and,

Figure 7 shows a mastering system according to the invention, followed by an authoring system for writing data to a DVD.

### Detailed Description of the Invention

The processing of audio data in the DVD-Audio format is one example of a practical application of this invention, and this particular example is described below.

As represented in Figure 1, data is stored on a DVD as a series of sectors 2, for example of 2 kilobytes. Some of these sectors are allocated to audio data, and some are allocated to non-audio, for example video data. Following the MPEG model, the audio data is arranged

on the disc as a sequence of so-called Access Units 4, which each comprise an encoded version of a so-called Presentation unit. A Presentation Unit is a block of data representing approximately 1ms of audio data. For a 96KHz sampling rate, each Presentation Unit contains 80 samples of digital audio data encoded using Pulse Code Modulation (PCM). An  
5 Access Unit comprises an MLP sync followed by the data for one or more substreams. Different substreams contain data for different speaker channels.

The Presentation Units are losslessly encoded to form the Access Units, using an encoding scheme proposed by the applicant, and which is the subject of UK Patent Application No.  
10 9907918.8, from which priority is claimed. This scheme is termed "Meridian Lossless Packing" (MLP), and gives rise to Access Units of variable length, typically around 1 Kilobyte. They may also cross the boundaries between disc sectors. This patent application is concerned with certain aspects which are being implemented in MLP. Therefore a general discussion of MLP follows, which incorporates the aspects according to this invention.

15 However, it should be understood that MLP is only one example of encoding scheme which can be adapted to enable this invention to be implemented.

MLP is a lossless encoding system which provides a core compression method, which  
20 reduces the data size and/or data rate of an audio object. In terms of the encoder operation, this core may be embodied in a BIN or binary disk file which can be decoded directly to recover the original audio. MLP-compressed audio is normally then given a packetising layer in a manner that suits the target transport method. Obvious transport mechanisms include computer disc, DVD disc, SPDIF interface and Firewire interface. For each of these  
25 fixed-rate or variable-rate streams can be envisaged.

For these transport systems MLP has been structured so that the core coded audio can be packetised into fixed-rate or variable-rate streams and so that a re-packetiser can convert MLP-encoded audio between the transport variants and/or between fixed-rate and variable-  
30 rate streams without requiring an intermediate decode-encode process.

The MLP bitstream is a flexible format for describing multichannel audio. To decode a large

number of channels at a high sampling rate will, however, always be a computationally demanding task. Consequently, MLP has been defined in a hierarchical manner so that decoders of lesser capability can easily extract the audio signals they require, skipping over parts that are intended for more advanced decoders.

5

The MLP bitstream carries a number of substreams containing the audio data. The number of substreams will depend on the application. For example, 2-channel decoders only need to decode substream 0; standard multichannel decoders must decode substream 0, substream 1 or both. In general, additional substreams may be provided within the MLP stream for use by more advanced decoders.

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As shown in Figure 2, an MLP encoder takes the input channels and divides them (possibly after matrixing) into groups appropriate to the various classes of decoder. Each group is then processed by an encoder core to produce a substream of variable-rate compressed data.

15

For example, a normal 5.1 channel disc will have 6 channels which can be decoded by a standard decoder. These would be matrixed and divided into groups of 2 and 4 channels, the matrix being chosen so that the 2-channel signal is an acceptable mix for the 2-channel listener. The two groups are then each encoded by separate encoder cores to produce substreams 0 and 1.

20

The encoder passes each substream through a FIFO buffer to the Packetiser, which interleaves the substreams to produce the composite bitstream, consisting of a regular stream of the Access Units. Optionally, additional data may be added at this point, and these data can occupy the space that would otherwise be wasted.

25

In the generic MLP decoder of Figure 3, the Depacketiser receives the packets or access units and retrieves the substreams, which it places in one or more FIFO buffers. It may optionally recover any additional data at this point. The data in each FIFO buffer will be a pure substream with all packet-level information removed.

30

After buffering, each substream is passed to a decoder core. In the simple case where a



substream contains the data for a completely independent group of channels, the decoder core recovers these channels. Figure 3 illustrates the more advanced case where the matrixing in the encoder has spread information across substream boundaries. A unique feature of MLP is lossless matrixing, which allows exact recovery of the original signal, without the rounding errors expected from the standard use of matrices.

As shown in Figures 2 and 3, the encoder and decoder cores each incorporate a matrix, in fact a lossless matrix. Essentially, the matrix allows linear dependencies within the group of channels to be exploited in order to reduce the data rate.

When several substreams carry the data for a group of channels, the last substream carries the necessary matrix coefficients for the whole group. Thus, in the example shown in Figure 3, substream 1 carries the data for four channels, plus the matrix coefficients for six channels. Decoder 1 partially decodes the four channels of substream 1, then takes in two partially decoded channels from decoder 0, and all six channels participate in the final matrixing.

Substream 0 also contains matrixing information, but this is used only if substream 0 is decoded in isolation, as shown in Figure 4. It follows that the two signals that result from decoding substream 0 alone need not be identical to the first two signals that result from decoding substreams 0 and 1. This is the key to the economical decoding of a two-channel downmix. In other words, a 6-channel original signal can be recovered from a 2-channel downmix, plus four other signals.

Each encoder core produces a variable-rate substream, the data rate being greatest during peaks of high treble energy. The FIFO buffers in Figure 2 are crucial in reducing the peak data rate on the disc. These FIFO buffers in the encoder fill during passages of peak data rate from the encoder cores, and empty when the data rates from the encoder cores are lower than the maximum data rate of the transmission medium or carrier.

Correspondingly, the FIFO buffers in the decoder (Figure 3) are filled during passages of lower data rate, and empty during passages of peak rate, thus allowing peak data rates higher

than the transmission maximum to be delivered to the decoder cores.

Buffering introduces delay, and the delay is variable as the buffers fill and empty. Figure 5 highlights the delay aspects involved in the encode-decode process: it is clear that when a FIFO buffer in the encoder fills, the corresponding FIFO buffer in the decoder must empty, so that the total delay D is constant.

On typical audio signals the data rate fluctuates substantially over a period of a few tens of milliseconds, and FIFO buffering with a total delay D of order 50–100ms generally reduces the peak data rate by about 2 bits per sample. This gives an advantage of nearly 1Mbits/s for 5 channels sampled at 96kHz.

When the transmission does not take place in real-time, as with disc recording, the total delay D in the encoding and decoding is not a relevant consideration. Operationally, the important issue is the decode latency, which directly affects the queuing time experienced by the user. This is the time between the decoder first receiving the compressed data stream and being able to produce the decoded samples. A major component of this is the buffer latency, which is simply the delay through the decoder's FIFO buffer.

The maximum buffer latency in the standard application is 75ms, but for the vast majority of the time the latency will be approximately 1ms. The filling and emptying of the decoder's FIFO buffer is under the control of the encoder, which arranges that the decoder's buffer is empty for most of the time (giving very low buffer latency), but fills just before passages that result in the highest rate of compressed data, for example one containing a cymbal crash. Thus it is only immediately prior to such a peak event that the buffer latency will be near its maximum value.

The standard decoder may be provided with 90,000 bytes of buffer memory, but a 2-channel decoder can use less than 3kbytes total. This is because each substream is separately buffered (figure 1) and buffering can be removed from a downmix substream with no impact on data rate.

Taking into account the time taken to find the various headers, the total decode latency at 96kHz is between 2 and 10ms during normal passages, with a worst case of 105 ms immediately before a peak.

5 The article "Lossless Coding for Audio Discs", J.Audio Eng.Soc., vol 44 no. 9 pp706-720 (September 1996) and PCT/GB/96/01164 contain discussions of some of the principles used in MLP. These documents are incorporated herein as reference material.

10 Essentially, the encoder and decoder cores utilise matrix transformations and Huffman coding and decoding.

15 Matrixing is used to minimise inter-channel dependency, and hence the total transmitted data rate. For example, if two channels are very similar it is more efficient to transmit one of them and the difference between the two. It is not adequate for the decoder simply to multiply by the inverse of the encoder's matrix, as the rounding errors involved in the matrix multiplications will result in lossy reconstruction of the original. This problem is overcome using lossless matrixing, in which the encode matrix includes carefully placed quantisers which ensure that the rounding errors are precisely known and can be cancelled using similar quantisers in the decoder. Each lossless matrix is a cascade of primitive matrices, each  
20 primitive matrix modifying just one channel.

25 Huffman coding is a widely used technique for saving data rate when not all possible values are equally likely. MLP uses 4 different Huffman tables, including the well known Rice code, to cater for differing signal statistics. These tables are all designed to scale with signal level and are simple to decode algorithmically (not using tables), though it will often be more efficient to use tables in software decoders.

30 As the length of a Huffman-coded sample is not known until it is decoded and the Huffman-coded samples are interleaved together on a sample-by-sample basis, the Huffman decoder must combine the operations of de-interleaving and decoding.

Timing information is provided in the headers of the Access Units, to enable timing control

of the data capture operation from the disc. In particular, a Decoder Time Stamp (DTS) is associated with each Access Unit, which indicates the timing that should be adopted for submission of that access unit to the decoder. A Presentation Time Stamp (PTS) is also employed to indicate the desired timing of the delivery of Presentation Units at the output of the decoder. The difference between these time points represent the delay allocated to the decoding operation.

The Access Units encoded by MLP each include, in a header, data indicating the length of that particular Access Unit. According to this invention, some Access Units, for example 1 in every 8, include longer headers which also include control data indicating the peak data rate within the track. This peak data rate is known from the outset, because the encoder may be controlled to produce an encoded data stream having a maximum peak data rate.

This peak data rate may be 9.6 Mbits/sec in some cases. However, the encoding operation may be controlled to ensure that a peak data rate for the audio stream is at a different level to the 9.6Mbits/sec absolute maximum. This may be desired when video and audio data are to be stored on the disc, with the result that the audio data can not be read from the disc at the peak 9.6 Mbits/sec rate. In this case, the audio may be specified to have a peak rate of 6.144 Mbits/sec, for example. For the encoding system to be able to provide the encoded stream with the desired peak data rate, it requires a certain amount of look-ahead capability during the encoding process; this may amount to approximately 1 second.

As shown in Figure 5, the MLP encoder comprises an encoder core 12 and a FIFO buffer 14. The encoded audio is packaged ready for writing to sectors of the disc, and combined with sectors containing encoded non-audio data at a multiplexer 16 for authoring onto the DVD 20. The encoding of the non-audio data is not considered in this text.

The DVD reader includes a demultiplexer 22 which receives the data from sectors of the disc 20, and provides one output for audio data, and another for non-audio data. The Access Units have variable length although they represent a constant amount of audio data (80 samples in the case of 96KHz sampling). Thus, in terms of data packets, the data read from an MLP encoded disc comprises a variable rate packetised stream.

The audio data is supplied to a feed buffer 24 whose function is twofold. Firstly it covers the interruptions in the supply of data from the demultiplexer, and secondly it stores the data until the correct time (DTS) for each access unit to be supplied to the decoder. The decoder comprises the FIFO buffer 30 and a decoder core 32. The FIFO buffers 14,30 in the encoder and decoder enable a reduction in the peak data rate stored on the disc.

The output of the feed buffer 24 is a serialised data stream. In general its rate will be 9.6Mbits/sec or higher. If it is higher then each access unit will be serialised in a time less than the time between its DTS and the DTS of the following access unit, therefore there will be timing gaps between the serialised access units. The peak data rate of the stream is the minimum rate at which the access units could be serialised without one or more of the timing gaps becoming negative.

The output of the feed buffer is supplied to the decoder 28, and the data stream is timed according to the Decoder Time Stamps. Similarly, the output of the MLP decoder, which is the reconstructed Presentation Units, is timed according to the Presentation Time Stamps. The variable rate packetised audio stream read from an MLP encoded DVD may not be appropriate for transfer over certain transmission systems. For example some interfaces such as IEC61958 are intrinsically fixed rate. It is then necessary to pad to a fixed rate stream, if the fixed rate of the interface is hardwired or has an upper limit, the peak rate information from the access unit headers may be used to determine in advance whether the transmission of the track will be possible.

ATM is packet based, but there are protocols that support transmission of "CBR" (Constant Bit Rate) streams over ATM. Firewire (IEEE 1394) supports both fixed-rate and variable-rate "isochronous" transmission (as well as "asynchronous" transmission). When transmitting at a fixed rate over these systems it is advantageous to use as low a rate as possible (as determined from the peak rate information in the access unit headers) to leave as much bandwidth as possible free for use by other services. In fact variable-rate transmission is preferred over Firewire: here it is necessary to negotiate for peak bandwidth at the start of the transmission, and again to minimise the impact on other services it is advantageous to determine the lowest adequate rate from the peak rate information in the

access unit headers.

The invention provides a transcoder for converting the variable rate packetised audio stream into a fixed rate packetised stream suitable for interfaces operating at a fixed rate. The fixed rate is determined from the information stored in the Access Unit headers. Fixed rate interfaces may be employed for communication with external equipment, for example a surround decoder, or a digital loudspeaker with MLP input, or with the internal decoder of the DVD player. The decoder architecture can be simplified by providing a fixed rate stream.

The transcoder is combined with a conventional decoder in the system shown in Figure 6, which has two possible outputs, a first conventional decoded output providing a stream of PCM audio, or an alternative output of fixed rate packetised data stream remaining in the MLP encoded domain. This output is provided without an intermediate decode and encode process.

The fixed rate packetised data stream may be provided by padding the ends of the variable length Access Units to result in a constant data rate. The amount of padding required will depend upon the timing interval between the start of the Access Unit and the following Access Unit. This time interval will not be constant, as a result of manipulation which can be performed by the encoder. This is explained below:

There is a maximum data rate of 9.6Mbits/sec at which data can be stored on the DVD. To ensure that there is no passage of data exceeding this rate, it is possible to stretch (in time) the Access Unit boundaries to reduce the data rate. In other words, the timing of the Access Units is altered to reduce the peak data rate, and the decoder time stamps are altered accordingly.

Thus, the encoder can be instructed to perform encoding, by manipulating the Access Unit configurations, such that a selected maximum data rate is not exceeded as explained above. In accordance with the invention, this maximum data rate information is stored in the Access Unit headers.

Additional control data may be introduced into the headers to indicate the level of padding performed to a receiver within the fixed rate interface system. This receiver could be a further transcoder, or could be an MLP decoder, possibly simplified in that it accepts a fixed-rate input only.

5

As explained above, such a decoder could be incorporated into an apparatus providing additional functionality, such as a surround decoder. The transcoder within the DVD player is a 'lightweight' process which can preferably be incorporated into the custom silicon used to retrieve the data bits from the disc. The transcoder can also be tightly integrated with the buffering incorporated in the player, in order that the variable rate data can be optimally handled with minimal use of memory.

10

The use of fixed packet rate interface protocols is simplified using the system of the invention. As mentioned above, examples of possible use of the fixed rate packetised data stream is for transmission over serial interfaces such as IEC61958, MADI, and NVISION. In the IEEE 1394 Firewire protocol and in the ISO\_Ethernet protocol, bandwidth can be negotiated and reserved prior to transmission. Consequently, there is also a desire to reduce the bandwidth of a signal for transmission over such an interface. This can be achieved by reducing the peak data rate to a minimum level.

15

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If data is stored on the disc as a fixed rate stream, it may be possible to reserialise the data to obtain such a reduction in the data rate. This reserialisation involves writing the access unit data at a lower data rate, which lengthens the Access Units, and this may be carried out to a limit just before the access units would overlap. In other words, reserialisation at a lower rate closes the gaps between access units. Therefore, the access unit headers in accordance with another aspect of the invention include an indication of the minimum data rate to which the data could be reserialised. This may again be in the form of control data accompanying the encoded data. This would allow the lowest possible bandwidth to be reserved for each audio track, thus freeing as much bandwidth as possible for other traffic on the interface.

25

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Data padding, for conversion from variable rate to fixed rate, and re-serialisation, for

conversion from one fixed rate to a lower fixed rate, are each a relatively trivial process. The transcoder for these operations may therefore be used if the track was encoded at a higher fixed rate, or at a variable rate. This fixed rate output, referenced "MLP Fixed Option" in Figure 6, of course comprises a constant bandwidth signal. Thus, fixed  
5 bandwidth may be allocated to the audio data on a track by track basis for transmission over the Firewire interface. Minimising data rate over Firewire has the advantage of leaving as much bandwidth as possible available for other isochronous transmissions that also need to reserve bandwidth.

10 As already mentioned, greater reductions in data rate can be achieved by repacketising. This involves re-doing the packetising process performed by the encoder, which we now briefly described.

15 The buffering operation provided by the FIFO buffers in the encoder and decoder may be controlled in different ways, depending upon the desired system characteristics. As explained with reference to Figure 5, for a real-time transmission system, the amount of data stored in the two buffers in combination contributes towards the total delay of the encoding and decoding operation. The total delay should be constant and as small as possible.

20 It is important to ensure that the decoder always has data available for decoding to avoid any interruption in the data transfer. One strategy, suitable for real-time transmission of the data, for example over a radio link, is to provide a fixed total FIFO delay and to send as much data as possible from the encoder to the decoder at each instant. This maximises the amount of data in the decoder buffer during the transmission.

25 If the encoded data is for storage on a DVD by a disc authoring system, the real time constraints are no longer present, and it is possible to analyse the data for a full track before the authoring operation. This makes it possible to control the data levels in the buffers in a different way, to take account of the data to be encoded at future times during the track.

30 The buffer may be utilised during encoding so that there is minimum delay during decoding, by arranging the decoder buffer to be empty as much as possible. The decoder buffer is



filled with data when a high data rate audio passage (e.g. of high treble energy) is approaching. The size of the decoder buffer must be taken into account in the encoding operation.

- 5 The amount by which the decoder's buffer needs to be filled in advance of a high rate passage depends on the allowed peak data rate. When authoring to a variable rate stream on the disc, and in the absence of other considerations, this peak data rate can be made the maximum of 9.6Mbits/s, in order to minimise the decoding delay. However, if other services such as moving pictures are to be stored alongside, then a lower peak data rate may  
10 be desirable. If authoring to a fixed-rate stream on the disc, it will generally be desired to use the lowest data-rate possible, in order to maximise the playing time.

A further aspect of the invention provides an alternative encoding method that uses an indication of the minimum data rate to which the sample can be re-packetised, which  
15 information is provided by the mastering system along with the stream. Re-packetising involves adjusting the starting times (the DTS's) to increase the gaps between some of the packets, to achieve still lower data rates, subject to the constraint of an assumed buffer size in the decoder.

- 20 For a given FIFO buffer size in the decoder, it is possible, after receiving the full data stream, to determine the minimum data rate at which the data stream can be packetised. Essentially, this involves manipulating the timing boundaries between Access Units for an assumed data rate. The length of the Access Units will be governed by the serialisation of the Access Units at the assumed data rate. The constraint as to the extent by which the  
25 timing points between Access Units can manipulated is the decoder buffer size, because it must never be allowed to overflow. This is a somewhat heavier process than re-serialisation or padding.

- 30 The assumed data rate is reduced iteratively until a minimum is found at which the data stream can be transmitted. Thus, mathematical modelling is performed iteratively. This consumes negligible computer time if it is performed by the bisection method, or one of the other efficient methods of univariate inverse interpolation. The data required to perform this

modelling comprises a note of the length (in bits) of each access unit. It requires much less storage space than the encoded signal itself, and it is easily output by the encoder along with the encoded stream.

- 5 The data to be authored onto the disc or provided to an interface is eventually subjected to a transcoding operation to produce the minimum rate packetised stream, taking into account the decoder FIFO. This may be a fixed rate packetised stream or a variable rate stream with a capped maximum data rate.
- 10 As shown in Figure 7, the writing of data to a DVD involves a Mastering Stage 40 and an authoring stage 42. The Mastering Stage 40 can be controlled in conventional manner to provide a PCM stream, labelled "PCM", which is subsequently encoded using MLP and provided on the DVD using an authoring system. This sequence is shown in Figure 7.
- 15 According to this aspect of the invention, the Mastering Stage 40 also has capability for MLP encoding. Therefore, writing of data on the DVD disc (or other storage medium) will rely on one or other of the two stages for the MLP encoding. The Mastering Stage thus provides a fixed rate MLP encoded packetised stream, labelled "MLP Fixed" in Figure 7, which can then be authored onto a DVD or CD Rom, or other storage medium. The transfer of the
- 20 "MLP Fixed" data stream by an authoring system onto disc is not shown in Figure 7. This MLP fixed stream includes an indication of the minimum data rate to which the stream could be repacketised, as determined, during (or after) the MLP encoding.

- 25 The fixed rate of the "MLP Fixed" output does not at this stage need to correspond to this minimum fixed data rate at which the DVD can be authored, since the subsequent Authoring Stage (not shown) can perform further transcoding to the desired minimum rate. There can be good reasons for mastering to a higher rate: one is to avoid the possibility of an unexpected loud signal from exceeding the permitted rate; another is that a fixed-rate MLP stream may be recorded on standard studio equipment that is intended for normal PCM
- 30 audio, and one may then have to choose between a small number of standard data-rates.

The minimum fixed rate will depend upon the size of the decoder FIFO buffer 30, as

explained above, and the indicated minimum rate assumes a given FIFO buffer size. The encoder may note the rate for each of several different assumptions about the decoding specification (in order to assist possible subsequent transcoding, such as repacketisation in the player to the lowest possible peak rate for transmission over Firewire, as explained above). For example, a decoder at the receiving end of a Firewire bus could have a much bigger FIFO than the 90 Kilobytes specified for a DVD player.

This minimum rate information is stored at the start of the output file, so that the Authoring can determine the desired rate for transmission. This avoids the requirement for the authoring stage to perform a pre-scan in order to determine the minimum rate for subsequent transmission. The minimum rate at which fixed-rate packetisation is possible can also be used as an upper bound of the data rate of a variable rate stream derived from the fixed rate stream. Repacketising to obtain a data stream at the minimum data rate may be performed by a DVD player to provide an output of minimum bandwidth for transmitting on a data bus, for example a Firewire network carrying multiple services around the home.

The Mastering Stage may also note the total amount of data, other than the padding, for the track. This is equal to the total amount of data in a variable-rate stream derived from the fixed-rate stream, and may be used by a mastering system to estimate the available playing time in a disc composed of several tracks.

Fixed rate packetised audio may be desired even on a storage medium such as DVD which can handle variable rate transmission, if the audio data on the storage medium is to accompany variable rate video data, such as for digital cinema data. The fixed rate audio data on the disc then facilitates timing operations for the decoding circuitry. Fixed rate streams are also desirable for storage on other carriers such as CD or magnetic tape.

Studio audio equipment also frequently requires fixed rate packetised data streams, and authoring such data streams directly onto the storage medium simplifies this. The invention may also be applied to the CD format. Modifications and variations will be apparent to those skilled in the art.

## CLAIMS

1. An encoder for producing an encoded variable rate packetised stream, including means for introducing into the stream control data representing the peak data rate of the encoded stream.
2. An encoder for producing an encoded fixed rate packetised stream, including means for introducing into the stream control data representing the peak data rate of the corresponding variable rate stream.
3. An encoder for producing an encoded packetised stream, including means for introducing into the stream control data representing the minimum data rate to which the stream could be repacketised for successful decoding by a decoder of known characteristics.
4. An encoder as claimed in claim 1, 2 or 3, wherein the encoded stream is losslessly compressed digital audio data.
5. An encoded variable rate packetised stream including control data representing the peak data rate of the stream.
6. An encoded fixed rate packetised stream including control data representing the peak data rate of the corresponding variable rate stream.
7. An encoded packetised stream including control data representing the minimum data rate to which the stream could be repacketised for successful decoding by each of one or more decoders of known characteristics.
8. An encoded packetised stream as claimed in claim 5, 6 or 7, wherein the encoded stream is losslessly compressed digital audio data.
9. An electronic device for providing an encoded packetised output to an interface, comprising an input for receiving data provided by an encoder as claimed in any one of

claims 1 to 4, the required bandwidth over the interface being determined by the control data provided on the stream by the encoder.

10. An electronic device as claimed in claim 9, further comprising means for converting the encoded packetised output to an output having a maximum data rate calculated in dependence upon the control data provided on the stream by the encoder.

11. An electronic device as claimed in claim 10, wherein the output having a maximum data rate corresponding to the control data comprises a fixed rate packetised stream.

12. An electronic device as claimed in claim 10 or 11, comprising a DVD player, the interface being for communication of encoded DVD data to external equipment.

13. An electronic device as claimed in claim 11, comprising a DVD player, the interface being for communication of encoded DVD data to an internal decoder.

14. A mastering system comprising an encoder for producing an encoded packetised stream, the encoder including means for introducing into the stream control data representing the total amount of data in the corresponding variable rate stream.

15. A system for writing data to a DVD comprising a mastering system as claimed in claim 14, a transcoder for converting the encoded fixed rate stream to a variable rate packetised stream for writing to the DVD, and an authoring system including means for determining the total data duration for writing on the DVD from the control data.

16. A mastering system comprising an encoder for producing an encoded packetised stream, the encoder including means for determining the minimum data rate to which the stream could be repacketised for successful decoding by each of one or more decoders of known characteristics and for introducing into the stream control data representing this minimum data rate.

17. A system comprising a mastering system as claimed in claim 16. and means for

repacketising the data to form a stream having a peak data rate calculated in dependence upon the control data.

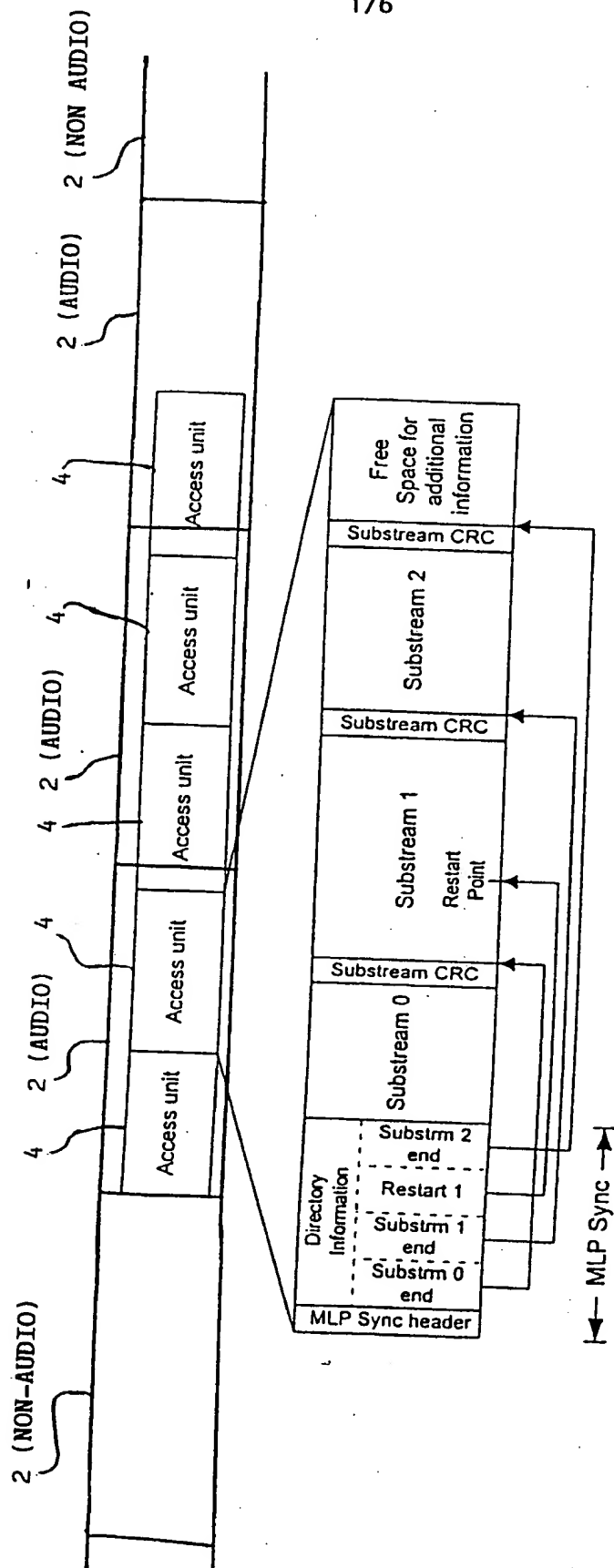
18. A system as claimed in claim 17, wherein the stream having a peak data rate corresponding to the control data comprises a fixed rate stream.

19. A system for providing encoded data to a DVD comprising a mastering system as claimed in claim 16, and means for writing the control data onto the disc with the encoded data.

20. A system for providing encoded data to a DVD comprising a mastering system and an authoring system, the authoring system including an encoder and means for determining the minimum data rate to which the encoded stream could be repacketised for successful decoding by each of one or more decoders of known characteristics, the authoring system writing control data to the disc representing this minimum data rate.

21. A system as claimed in any one of claims 17 to 20, wherein the encoder comprises an MLP lossless encoder for audio data.

FIG 1



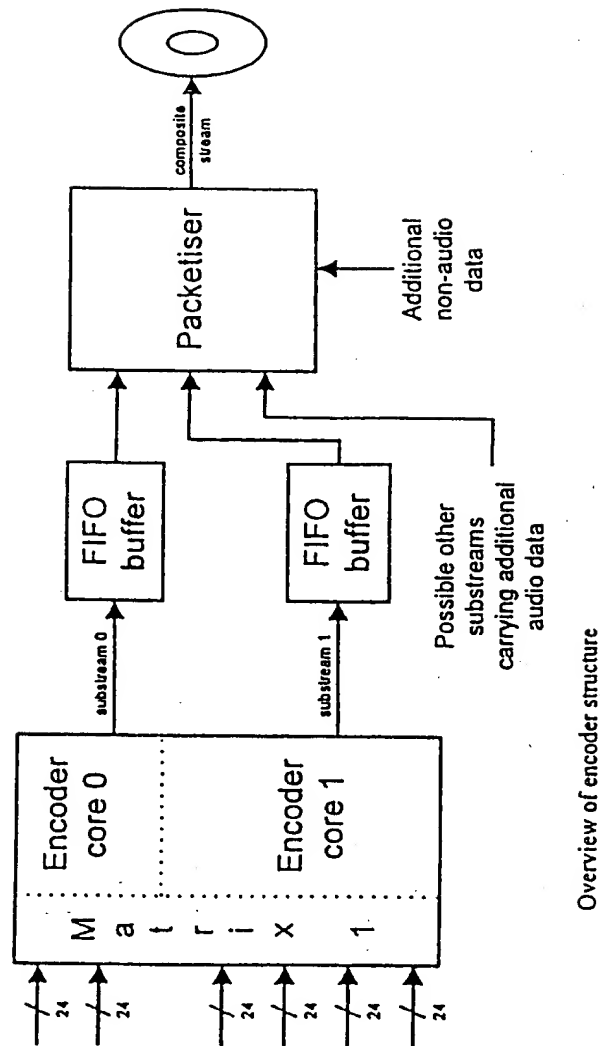
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FIG 2

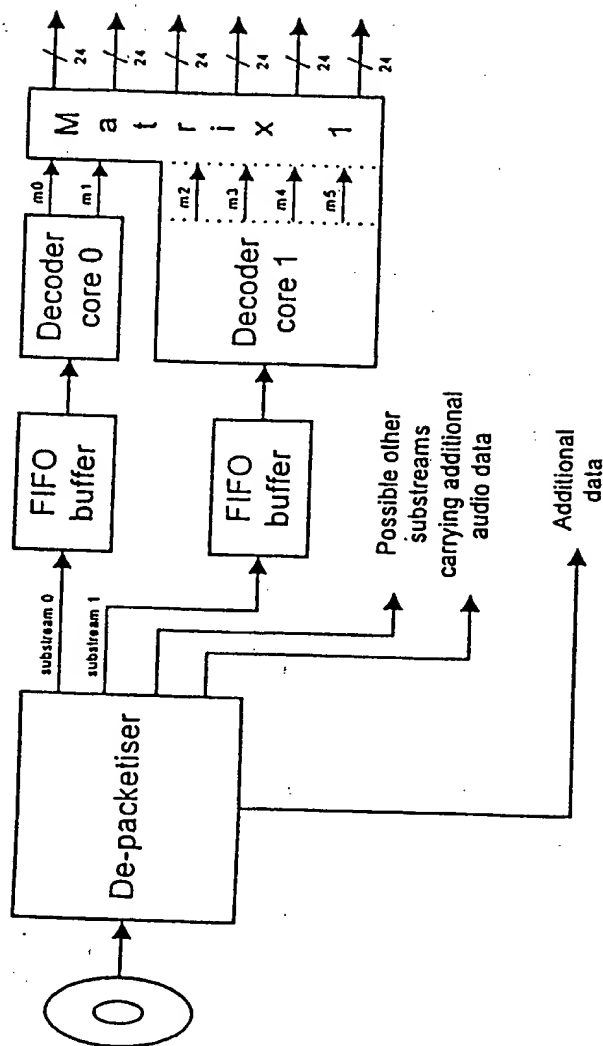


Overview of encoder structure

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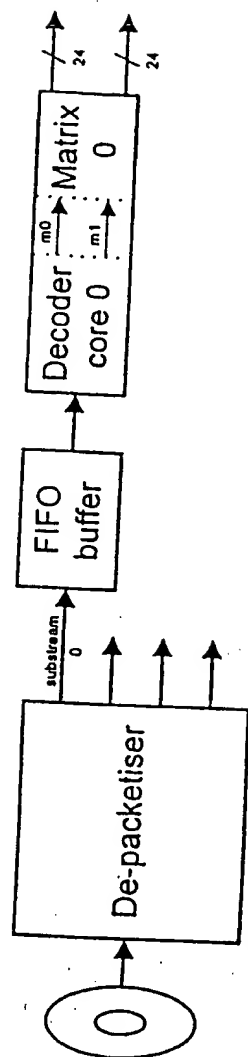
FIG 3



Overview of a decoder when decoding substreams 0 and 1

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FIG 4



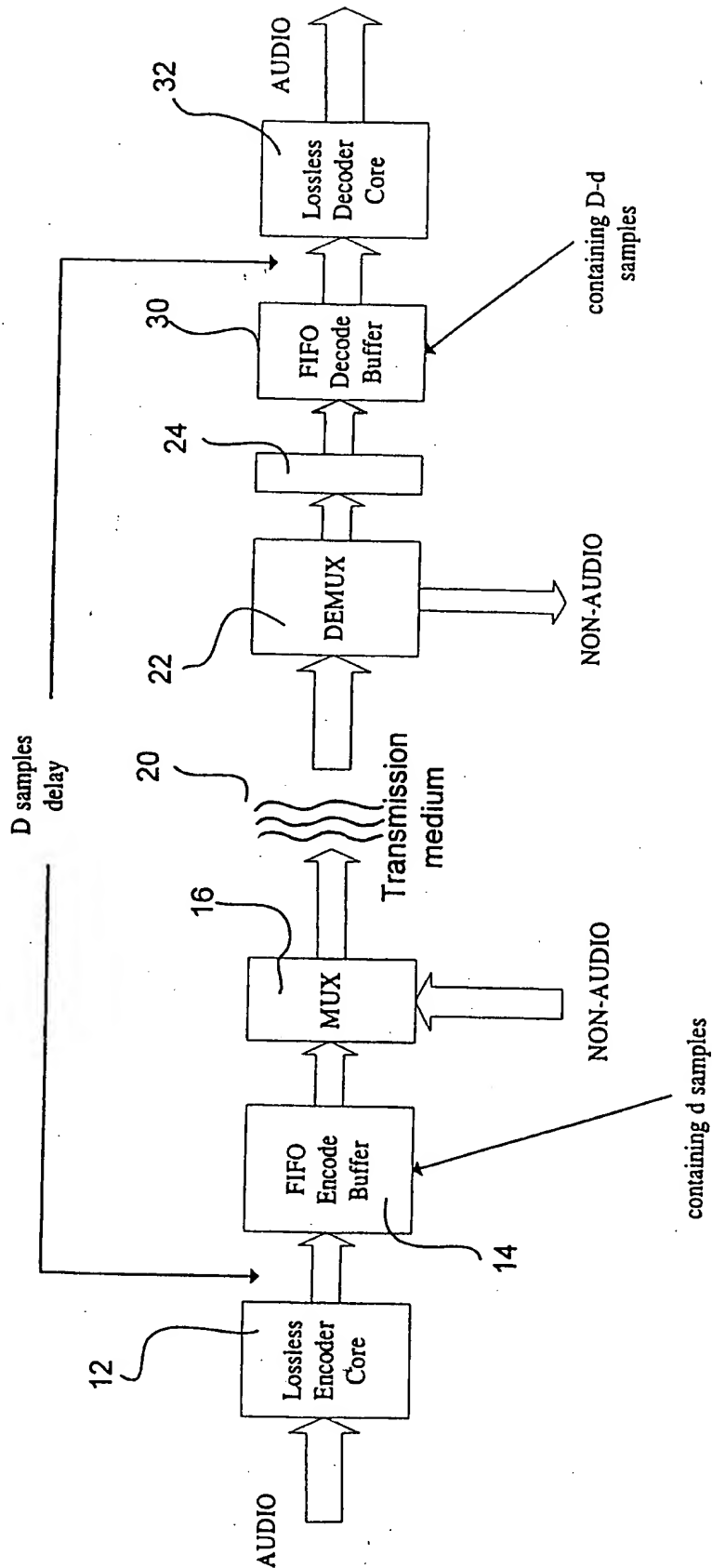
Overview of decoder decoding substream 0 only

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FIG 5



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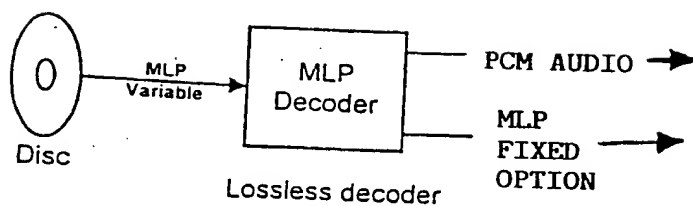


FIG 6

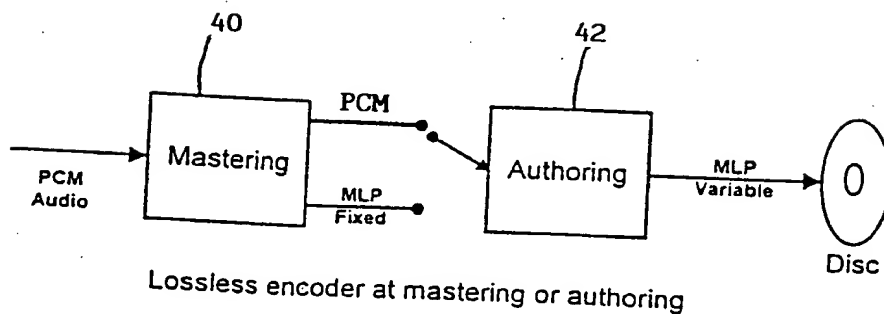


FIG 7

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# INTERNATIONAL SEARCH REPORT

International Application No  
PCT/GB 99/02138

**A. CLASSIFICATION OF SUBJECT MATTER**  
IPC 7 H04L12/56 H04N7/50

According to International Patent Classification (IPC) or to both national classification and IPC

**B. FIELDS SEARCHED**

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 H04N H04L H03M

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

**C. DOCUMENTS CONSIDERED TO BE RELEVANT**

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	EP 0 784 409 A (SONY CORP) 16 July 1997 (1997-07-16)	1-13
A	page 5, line 56 -page 6, line 47; figure 6	14, 16, 20
X	US 5 623 424 A (MIMURA HIDEKI ET AL) 22 April 1997 (1997-04-22)	1-13
	column 22, line 38 -column 24, line 19	
X	US 5 684 714 A (MIMURA HIDEKI ET AL) 4 November 1997 (1997-11-04)	1-13
	column 21, line 25 -column 23, line 8 column 60, line 33 -column 61, line 16; figures 44, 45	

☐ Further documents are listed in the continuation of box C.

☒ Patent family members are listed in annex.

\* Special categories of cited documents:

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Date of the actual completion of the international search

15 October 1999

Date of mailing of the international search report

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Name and mailing address of the ISA

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